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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
In re Application of

Andrew Goodwin et al.

Serial No.:

10/509,711

Filed:

September 30, 2004

For: ATMOSPHERIC PRESSURE  
PLASMA ASSEMBLY

Docket No.:

MSP616 NAT1

Group Art Unit:

1792

Examiner:

Maureen Gramaglia Arancibia

I hereby certify that the enclosed Information Disclosure Statement and attached SB/08/A are being submitted via First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

August 21, 2008  
Date

*Julie A. Barber*  
Julie A. Barber

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

### INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the patentability and/or examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Supplemental Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability and/or examination, or that no other material information exists. The filing of this Supplemental Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO/SB/08A and/or PTO/SB/08B (Modified) listing patents, publications, or other information for consideration by the Office.

### COPIES PROVIDED:

☒ Legible copies of all items listed on Form PTO/SB/08A and/or PTO/SB/08B accompany this Supplemental Information Disclosure Statement, except copies of U.S. patents, U.S. patent application publications, copies of U.S. applications that were filed on or after June 30, 2003, and copies of U.S. applications that were filed before June 30, 2003 that are available in the Image File Wrapper System.

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this

application:

- ☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO/SB/08A:

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO/SB/08A.
- ☒ English language abstract for the following non-English references are enclosed:

<u>Foreign Patent Document</u>	<u>Publication Date</u>	<u>Name of Patentee or Applicant of Cited Document</u>
<u>DE19924108</u>	<u>2000-11-30</u>	<u>Schneider et al.</u>
<u>DE19742619</u>	<u>1999-01-28</u>	<u>Branston et al.</u>
<u>DE19955880</u>	<u>2001-05-23</u>	<u>Lange et al.</u>
<u>JP2000-192261</u>	<u>2000-07-11</u>	<u>Seiko Epson Corp.</u>
<u>JP2000-319427</u>	<u>2000-11-21</u>	<u>Konica Corp.</u>
<u>JP2001-087643</u>	<u>2001-04-03</u>	<u>Pearl Kogyo KK</u>
<u>JP07-062546</u>	<u>1995-03-07</u>	<u>Okuno et al.</u>
<u>JP07-138761</u>	<u>1995-05-30</u>	<u>Res Dev Corp. of Japan</u>
<u>JP07-328427</u>	<u>1995-12-19</u>	<u>Matsushita Electric Co. Ltd.</u>
<u>JP08-078529</u>	<u>1996-03-22</u>	<u>Seiko Epson Corp.</u>
<u>JP10-275698</u>	<u>1998-10-13</u>	<u>Miyashita et al.</u>
<u>JP2002-057440</u>	<u>2002-02-22</u>	<u>Uehara et al.</u>
<u>JP62227905</u>	<u>1987-10-06</u>	<u>Masayuki</u>
<u>WO95/18249</u>	<u>1995-07-06</u>	<u>Miyakawa et al.</u>
<u>WO99/06204</u>	<u>1999-02-11</u>	<u>Bolte et al.</u>
<u>WO99/66096</u>	<u>1999-12-23</u>	<u>Branston et al.</u>
<u>WO01/38596</u>	<u>2001-05-31</u>	<u>Lange et al.</u>
<u>WO02/40742</u>	<u>2002-05-23</u>	<u>Yara et al.</u>

- ☒ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

<u>Foreign Patent/Document</u>	<u>Publication Date</u>	<u>Name of Patentee or Applicant Of Cited Document</u>
<u>JP2000-192261</u>	<u>2000-07-11</u>	<u>Seiko Epson Corp.</u>
<u>JP2000-319427</u>	<u>2000-11-21</u>	<u>Konica Corp.</u>
<u>JP2001-087643</u>	<u>2001-04-03</u>	<u>Pearl Kogyo KK</u>
<u>JP07-062546</u>	<u>1995-03-07</u>	<u>Okuno et al.</u>
<u>JP07-138761</u>	<u>1995-05-30</u>	<u>Res Dev Corp. of Japan</u>
<u>JP07-328427</u>	<u>1995-12-19</u>	<u>Matsushita Electric Co. Ltd.</u>
<u>JP08-078529</u>	<u>1996-03-22</u>	<u>Seiko Epson Corp.</u>
<u>JP10-275698</u>	<u>1998-10-13</u>	<u>Miyashita et al.</u>
<u>JP2002-057440</u>	<u>2002-02-22</u>	<u>Uehara et al.</u>

- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☒ The following foreign language documents are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

<b>Cited Art</b>	<b>English Equivalent</b>
<b>WO95/18249</b>	<b>6,342,275</b>

- ☐ Submitted herewith is an English language version of a PCT search report listing information not in the English language and indicating the degree of relevancy found by the International Bureau of WIPO, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☒ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

<b>Foreign Patent Document</b>	<b>Explanation of Relevance</b>
<b>DE19924108</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a plasma polymer coating that is useful for coating electrical equipment housings, window frame, etc. The coating is formed by atomizing a compound into a plasma.
<b>DE19742619</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a method and apparatus for introducing powdery solids or liquids into an inductively coupled plasma. The solids or liquids are converted into an aerosol that is fully evaporated in the plasma.
<b>DE19955880</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a metal coating process, e.g. for steel parts used in vehicles, that involves forming a coupling layer by generating a plasma discharge in a gaseous mixture of in inert gas and/or oxidizing gas containing organo-silicon compound.
<b>JP62227905</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses treating glass with a plasma in an atmosphere of a gas of an organic compound.
<b>WO99/06204</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a corona-type device for treating a substrate surface.
<b>WO99/66096</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a method and device for producing a powder aerosol and use thereof in a

	plasma burner to form a coating on a substrate.
<b>WO01/38596</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a method for producing a coating system, which is comprised of an adhering layer and of an organic coat on a substrate whereby the adhering layer is produced by means of a barrier discharge carried out in an aerosol consisting of an organosilicon compound.
<b>WO02/40742</b>	The relevancy of this document as presently understood is obtained from the English language abstract which indicates that this document discloses a method and device for atmospheric plasma processing configured such that process gas is exhausted near a processed part.

☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

☐ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☒ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

☐ each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Information Disclosure Statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge as the person signing this certification after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

☒ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an Information Disclosure Statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to Howard & Howard Attorneys PC **Deposit Account No. 08-2789**.

☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but is being filed on or **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

☐ each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

- ☐ no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge as the person signing this certification after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). If a check is not enclosed, please charge the petition fee of **\$180.00** Howard & Howard Attorneys PC **Deposit Account No. 08-2789**. A duplicate of this paper is enclosed.

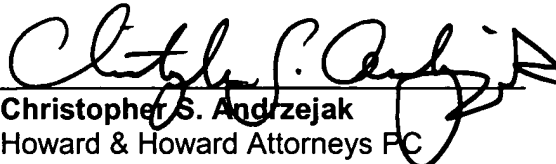
The Commissioner is authorized to charge Howard & Howard Attorneys PC Deposit Account No. 08-2789 for any additional fees due hereunder.

Reg. No. 57,212

August 21, 2008  
Date

**Customer No. 27305**

Respectfully submitted

  
**Christopher S. Andzejak**  
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10509711
Filing Date	2004-09-30
First Named Inventor	Andrew James Goodwin et al.
Art Unit	1792
Examiner Name	Arancibia M. Gramaglia
Attorney Docket Number	071049.00039

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

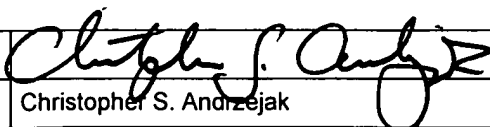
☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	2008-08-21
Name/Print	Christopher S. Andrzejak	Registration Number	57,212

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.